



Atty. Dkt. No. 038602-1220

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Peng-Cho TANG, et al.  
Title: INDOLINONE COMBINATORIAL LIBRARIES  
AND RELATED PRODUCTS AND METHODS  
FOR THE TREATMENT OF DISEASE  
Appl. No.: 09/897,755  
Filing Date: 07/03/2001  
Examiner: Not Yet Assigned  
Art Unit: 1627

#8  
11/3/02  
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**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

Applicants submit herewith on Form PTO-1449 a listing of the documents cited by the U.S. PTO on Forms PTO-892, or submitted to the U.S. PTO in parent application Serial No. 08/702,232, filed 08/23/1996. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

**RELEVANCE OF EACH DOCUMENT**

The relevance of the foreign-language documents is explained in the parent application.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Date

3/1/02

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**\*22428\***


**22428**

PATENT TRADEMARK OFFICE

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Respectfully submitted,

By



Beth A. Burrous  
Attorney for Applicant  
Registration No. 35,087

FORM PTO-1449

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

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ATTY. D. NO.

38602-1220

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GROUP:

1627

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
													YES	NO
	AA	0	6	2	6	3	7	7	11/30/94	EPO (Haga et al.)				
	AB	9	7	3	6	8	6	7	10/09/97	WO/PCT (Howard)				
	AC	9	2	8	6	7	7	7	11/04/97	Japan				
	AD	9	5	1	4	6	6	7	06/01/95	WO/PCT (Masamune)				
	AE	3	3	1	0	8	9	1	09/27/84	Germany (Michel et al.)				
	AF	3	4	2	6	4	1	9	01/23/86	Germany (Michel et al.)				
	AG	9	7	2	5	9	8	6	07/24/97	WO/PCT (Sato et al.)				
	AH	0	7	8	8	8	9	0	08/13/97	EPO (Vanmaele)				

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AI	Howard, Provisional Patent Application No. 60/015,134 filed March 29, 1996 for "Lactam Derivatives"

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	AA	2	9	6	8	5	5	7	01/17/61	Burgardt et al.			
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	AC	5	3	9	7	7	8	7	03/14/95	Buzzetti et al.			
	AD	5	3	7	4	6	5	2	12/20/94	Buzzetti et al.			
	AE	5	1	2	4	3	4	7	06/23/92	Connor et al.			
	AF	5	3	3	0	9	9	2	07/19/94	Eissenstat et al.			
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	AI	5	2	0	6	2	6	1	04/93	Kawaguchi et al.			
	AJ	4	8	6	8	3	0	4	09/19/89	Larock et al.			
	AK	5	3	8	2	5	9	3	01/95	Le Baut			
	AL	5	2	1	7	9	9	9	06/08/93	Levitzki			
	AM	4	6	4	2	3	0	9	02/10/87	Michel et al.			
	AN	4	8	2	6	8	4	7	05/02/89	Michel et al.			
	AO	5	0	5	1	4	1	7	09/24/91	Nadler et al.			
	AP	4	9	7	1	9	9	6	11/20/90	Shiraishi et al.			
	AQ	4	8	5	3	4	0	3	08/01/89	Shiraishi et al.			
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	AS	5	0	5	7	5	3	8	10/15/91	Shiraishi et al.			
	AT	5	0	8	9	5	1	6	02/18/92	Shiraishi et al.			
	AU	5	3	2	2	9	5	0	06/94	Sircar et al.			
	AV	5	3	0	2	6	0	6	04/12/94	Spada et al.			
	AW	4	9	6	6	8	4	9	10/30/90	Vallee et al.			

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EXAMINER INITIAL		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
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	AY	9	4	1	4	8	0	8	07.07.94	WO/PCT (Buzzetti et al.)				
	AZ	0	5	2	5	4	7	2	03.02.93	EPO (Buzzetti et al.)				
	BA	9	5	0	1	3	4	9	12.01.95	WO/PCT (Buzzetti et al.)				
	BB	9	6	1	6	9	6	4	06.06.96	WO/PCT (Buzzetti et al.)				
	BC	0	6	6	2	4	7	3	12.07.95	EPO (Buzzetti et al.)				

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	BD	9	6	0	0	2	2	6	04.01.96	WOPCT (Buzzetti et al.)			
	BE	9	5	1	7	1	8	1	29.06.95	WOPCT (Buzzetti et al.)			
	BF	9	1	1	3	0	5	5	05.09.92	WOPCT (Buzzetti et al.)			
	BG	9	3	0	1	1	8	2	21.01.93	WOPCT (Buzzetti et al.)			
	BH	9	4	0	3	4	2	7	17.02.94	WOPCT (Dobrusin et al.)			
	BI	9	2	2	1	6	6	0	10.04.92	WOPCT (Dow)			
	BJ	9	1	1	5	4	9	5	17.10.91	WOPCT (Dow et al.)			
	BK	0	5	8	0	5	0	2	01.94	EPO			
	BL		8	7	8	5	3	9	06.53	Germany			
	BM	2	6	8	9	3	9	7	08.10.93	France (Guillaume et al.)			
	BN		8	0	9	6	9	1	04.93.59	Great Britain (Hull)			
	BO	1	3	9	8	2	2	4	29.03.65	France (Imperial Chemical)			
	BP	6	2	2	9	5	7	0	07.02.87	Japan			
	BQ	6	2	3	9	5	6	4	02.87	Japan			
	BR	63	1	4	1	9	5	5	14.06.88	Japan			
	BS	9	4	1	0	2	0	2	11.05.94	WOPCT (Johnston et al.)			
	BT		2	8	6	8	7	0	04.12.64	Australia (Mumane and Moore)			
	BU	0	3	5	1	2	1	3	17.01.90	EPO (Nadler et al.)			
	BV	9	2	0	7	8	3	0	14.05.92	WOPCT (Nakanishi et al.)			
	BW	0	6	3	2	1	0	2	15.06.94	EPO (Roschger)			
	BX		5	5	8	8	9	4	09.03.93	Japan (Sakuda et al.)			
	BY	2	0	1	2	6	3	4	20.09.91	Canada (Salan)			
	BZ	2	1	5	9	3	6	0	14.06.73	Germany (Scheer et al.)			
	CA	2	1	5	9	3	6	1	14.06.73	Germany (Scheer et al.)			
	CB	2	1	5	9	3	6	2	14.06.73	Germany (Scheer et al.)			
	CC	2	1	5	9	3	6	3	14.06.73	Germany (Scheer et al.)			
	CD		8	3	5	4	7	3	18.05.60	Great Britain (Senior)			
	CE	8	8	0	7	0	3	5	22.09.88	WOPCT (Shiraishi et al.)			
	CF	9	2	0	3	7	3	6	06.05.92	WOPCT (Spada et al.)			
	CG	2	3	2	1	6	5	6	15.11.73	Germany (Tomlinson)			
	CH	1	3	8	4	5	9	9	19.02.75	Great Britain (Tomlinson)			
	CI	9	6	2	2	9	7	6	08/96	WOPCT			

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<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>   (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 38602-1220	<b>SERIAL NO.</b> 09/897,755
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
CJ		Abramovitch et al., "A Novel Synthesis of a Cyclic Hydroxamic Acid Involving a Molecular Rearrangement," <u>Chemistry and Industry</u> 44:1871 (1967)
CK		Abramovitch and Hey, "Internuclear cyclisation," <u>J. Chem. Soc.</u> pp. 1697-1703 (1954)
CL		Akbasak and Suner-Akbasak et al., "Oncogenes: cause or consequence in the development of glial tumors," <u>J. Neurol. Sci.</u> 111:119-133 (1992)
CM		Andreani et al., "Synthesis and cardiotonic activity of 2-indolinones," <u>Eur. J. Med. Chem.</u> 25:187-190 (1990)
CN		Andreani et al., "Synthesis and cardiotonic activity of 2-indolinones bearing pyridyl groups," <u>Eur. J. Med. Chem.</u> 28:653-657 (1993)
CO		Andreani et al., "Synthesis of lacatams with potential cardiotonic activity," <u>Eur. J. Med. Chem.</u> 28:825-829 (1993)
CP		Andreani et al., "Synthesis and cardiotonic activity of pyridylmethylene-2-indolinones," <u>Eur. J. Med. Chem.</u> 27:167-170 (1992)
CQ		Arteaga et al., "Blockade of the type I somatostatin receptor inhibits growth of human breast cancer cells in athymic mice," <u>J. Clin. Invest.</u> 84:1418-1423 (1989)
CR		Autrey and Tahk, "The Synthesis and Stereochemistry of Some Isatylideneacetic Acid Derivatives," <u>Tetrahedron</u> 23:901-917 (1967)
CS		Bahner et al., "Benzylideneindenes with Oxygen Attached to the Indene Ring," <u>J. Med. Chem.</u> 12:721-722 (1969)
CT		Bamfield et al., "Diels-Alder Reactions of Oxindolylideneacetone," <u>J. Chem. Soc. (C)</u> pp. 1028-1030 (1966)
CU		Baserga, "Oncogenes and the strategy of growth factors," <u>Cell</u> 79:927-930 (1994)
CV		Baserga, "The insulin-like growth factor I receptor: a key to tumor growth?" <u>Cancer Res.</u> 55:249-252 (1995)
CW		Blake and Jaques, "Anisotropic Effects in alpha-substituted methoxystilbenes," <u>J. Chem. Soc. Perkin II</u> pp. 1660-1663 (1973)
CX		Bolen et al., "The Src family of tyrosine protein kinases in hemopoietic signal transduction," <u>FASEB J.</u> 6:3403-3409 (1992)
CY		Bolen, "Nonreceptor tyrosine protein kinases," <u>Oncogene</u> 8:2025-2031 (1993)
CZ		Borsche et al., "Über nielkernige kondensierte systeme mit heterocyclischen ringen," <u>Liebigs Ann. Chem.</u> 550:160-174 (1941)
DA		Buzzetti et al., "Cinnamamide Analogs as Inhibitors of Protein Tyrosine Kinases," <u>Il Farmaco</u> 48:615-636 (1993)
DB		Canoira and Rodriguez, "Synthesis of Oxindole Derivatives from N-Alkenyl-o-Chloroanilides with Zero-Valent Nickel Complex," <u>J. Heterocyclic Chem.</u> 22:1511-1518 (1985)
DC		Chatten et al., "Substituted Oxindoles. Part VI. Polarographic Reduction of Substituted trans-3-benzylideneindol-2(3H)-ones," <u>J. Chem. Soc. Perkin II</u> pp. 469-473 (1973)
DD		Coda et al., "(Z)- and (E)-Arylidene-1,3-dihydroindol-2-ones: Configuration, Conformation and Infrared Carbonyl Stretching Frequencies," <u>J. Chem. Soc. Perkin II</u> pp. 615-619 (1984)
DE		Coppola et al., "A functional insulin-like growth factor I receptor is required for the mitogenic and transforming activities of the epidermal growth factor receptor," <u>Mol. Cell. Biol.</u> 14:4588-4595 (1994)

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	DF	Daisley, "Thin-layer chromatographic separation of some substituted 3-benzylidene-indol-2(3H)-ones," <u>J. Chromatography</u> 100:240-242 (1974)
	DG	Dati et al., "Inhibition of c-erbB-2 oncogene expression by estrogens in human breast cancer cells," <u>Oncogene</u> 5:1001-1006 (1990)
	DH	De Vries et al., "The <i>fms</i> -Like Tyrosine Kinase, a Receptor for Vascular Endothelial Growth Factor," <u>Science</u> 255:989-991 (1992)
	DI	Decker and Lohmann-Matthes, "A quick and simple method for the quantitation of lactate dehydrogenase release in measurements of cellular cytotoxicity and tumor necrosis factor (TNF) activity," <u>J. Immunol. Methods</u> 15:61-69 (1988)
	DJ	Dickson et al., "Tyrosine kinase receptor-nuclear protooncogene interactions in breast cancer," <u>Cancer Treatment Res.</u> 61:249-273 (1992)
	DK	Elliott and Rivers, "Reduction of some oxindolylidene derivatives to 3-substituted oxindoles by sodium borohydride," <u>J. Org. Chem.</u> 29:2438-2440 (1964)
	DL	Fantl et al., "Distinct Phosphotyrosines on a Growth Factor Receptor Bind to Specific Molecules That Mediate Different Signaling Pathways," <u>Cell</u> 69:413-423 (1992)
	DM	Fendly et al., "Characterization of Murine Monoclonal Antibodies Reactive to Either the Human or Epidermal Growth Factor Receptor or HER2/ <i>neu</i> Gene Product" <u>Cancer Research</u> 50:1550-1558 (1990)
	DN	Ferrara and Henzel, "Pituitary Follicular Cells Secrete a Novel Heparin-Binding Growth Factor Specific for Vascular Endothelial Cells," <u>Biochem. Biophys. Res. Commun.</u> 161:851-858 (1989)
	DO	Fingl and Woodbury, Chapter 1, pp.1-46 in <u>The Pharmacological Basis of Therapeutics</u> (5th edition), eds. Goodman et al., MacMillan Publishing Co., Inc., New York (1975)
	DP	Floege et al., "Factors involved in the regulation of mesangial cell proliferation <i>in vitro</i> and <i>in vivo</i> ," <u>Kidney International</u> 43:47-54 (1993)
	DQ	Folkman and Shing, "Angiogenesis," <u>J. Biol. Chem.</u> 267:10931-10934 (1992)
	DR	Folkman, "What is the Evidence that Tumors are Angiogenesis Dependent?" <u>Journal of the National Cancer Institute</u> 82:4-6 (1990)
	DS	Goldring, "Cytokines and cell growth control," <u>Critical Reviews in Eukaryotic Gene Expression</u> 1:301-326 (1991)
	DT	Gottardis et al., "Estradiol-Stimulated Growth of MCF-7 Tumors Implanted in Athymic Mice: A Model to Study the Tumoristatic Action of Tamoxifen," <u>J. Steroid Biochem.</u> 30(1-6):311-314 (1988)
	DU	Hewgill and Stewart, "Phenanthrene-4,5-quinones: a Synthesis of Morphenol," <u>J. Chem. Soc. Perkin Trans. I</u> pp. 1305-1311 (1988)
	DV	Hodges et al., "Chemical and biological properties of some oxindolidyl-3-methines," <u>Canadian J. Chemistry</u> 46:2189-2194 (1968)
	DW	Honegger et al., "Point Mutation at the ATP Binding Site of EGF Receptor Abolishes Protein-Tyrosine Kinase Activity and Alters Cellular Routing," <u>Cell</u> 5:199-209 (1987)
	DX	Houck et al., "Dual Regulation of Vascular Endothelial Growth Factor Bioavailability by Genetic and Proteolytic Mechanisms," <u>J. Biol. Chem.</u> 267:26031-26037 (1992)
	DY	Howard et al., "Synthesis and aldose reductase inhibitory activity of substituted 2(1H)-benzimidazolone- and oxindole-1-acetic acids," <u>Eur. J. Med. Chem.</u> 27:779-789 (1992)
	DZ	Ijaz et al., "The Conversion of $\alpha,\beta$ -Dinitrostyrenes into Indoles and the Preparation of Oxindole Quinones," <u>J. Chem. Res. (S)</u> pp. 116 (1990)

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EA	Jellinek et al., "Inhibition of Receptor Binding by High-Affinity RNA Ligands to Vascular Endothelial Growth Factor," <u>Biochemistry</u> 33:10450-10456 (1994)
EB	Katritzky et al., "Color and Constitution. Part 8[1]. Some Novel Dyestuffs Containing Indoxyl Residues," <u>J. Heterocyclic Chem.</u> 25:1287-1292 (1988)
EC	Kendall and Thomas, "Inhibition of vascular endothelial cell growth factor activity by an endogenously encoded soluble receptor," <u>Proc. Natl. Acad. Sci. USA</u> 90:10705-10709 (1993)
ED	Khalil and Abdel-Rahman, "Synthesis of New Mero- and Asymmetrical Pyrazolo-Monomethine Cyanine Dyes," <u>J. Indian Chem. Soc.</u> 54:904-907 (1977)
EE	Kim et al., "Inhibition of vascular endothelial growth factor-induced angiogenesis suppresses tumour growth <i>in vivo</i> ," <u>Nature</u> 362:841-844 (1993)
EF	Kinsella et al., "Protein Kinase C Regulates Endothelial Cell Tube Formation on Basement Membrane Matrix, Matrigel," <u>Exp. Cell Research</u> 199:52-62 (1992)
EG	Klagsbrun and Soker, "VEGF/VPF: the angiogenesis factor found?" <u>Current Biology</u> 3:699-702 (1993)
EH	Kobayashi et al., "Anti-tumor Activity of Indole Derivatives," <u>Yakugaku Zasshi</u> 97(9):1033-1039 (1977)
EI	Koch et al., "SH2 and SH3 Domains: Elements That Control Interactions of Cytoplasmic Signaling Proteins," <u>Science</u> 252:668-674 (1991)
EJ	Korc et al., "Overexpression of the epidermal growth factor receptor in human pancreatic cancer is associated with concomitant increases in the levels of epidermal growth factor and transforming growth factor alpha," <u>J. Clin. Invest.</u> 90:1352-1360 (1992)
EK	Korzeniewski and Callewaert, "An Enzyme-Release Assay for Natural Cytotoxicity," <u>J. Immunol. Methods</u> 64:313-320 (1983)
EL	Kovac and Stetinova, "Furan derivatives LXXX. Synthesis and properties of substituted furfurylidenoxindoles," <u>Chem. rvesu</u> 30:484-492 (1976)
EM	Kumbae et al., "Amplification of alpha-platelet-derived growth factor receptor gene lacking an exon coding for a portion of the extracellular region in a primary brain tumor of glial origin," <u>Oncogene</u> 7:627-633 (1992)
EN	Larock and Babu, "Synthesis of Nitrogen Heterocycles via Palladium-catalyzed Intramolecular Cyclization," <u>Tetrahedron Letters</u> 28:52991-5294 (1987)
EO	Lee and Donoghue, "Intracellular retention of membrane-anchored v-sis protein abrogates autocrine signal transduction," <u>J. Cell. Biol.</u> 118:1057-1070 (1992)
EP	Macauley et al., "Autocrine function for insulin-like growth factor I in human small cell lung cancer cell lines and fresh tumor cells," <u>Cancer Res.</u> 50:2511-2517 (1990)
EQ	Mariani et al., "Inhibition of angiogenesis by PCE 26806, a potent tyrosine kinase inhibitor," <u>Experimental Therapeutics - Proceedings of the American Association for Cancer Research</u> 35:301 at abstract no. 2268 (March 1994)
ER	Martin-León et al., "On the Cyclization to the Elusive Amino-4H-pyran Ring," <u>Liebigs Ann. Chem.</u> pp. 101-104 (1990)
ES	Mirand et al., "A Synthetic Entry in the Aristotelia Alkaloids," <u>J. Org. Chem.</u> 47:4169-4170 (1982)
ET	Mosmann, "Rapid Colorimetric Assay for Cellular Growth and Survival: Application to Proliferation and Cytotoxicity Assays," <u>J. Immunol. Methods</u> 65:55-63 (1983)
EU	Neber and Rucker, "Ueber die einwirkung von benzaldehyden auf die freie o-aminophenyl-essigsäure," <u>Chem. Ber.</u> 56:1710-1717 (1923)

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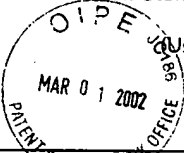
EV	Nodiff et al., "Antimalarial Phenanthrene Amino Alcohols. 1. Fluorine-Containing 3- and 6-Substituted 9-Phenanthrenemethanols," <u>J. Med. Chem.</u> 14:921-925 (1971)
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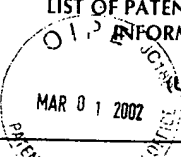
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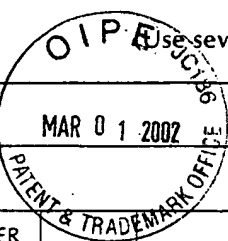
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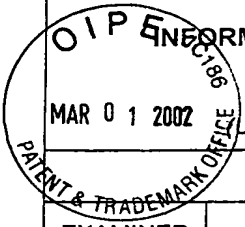
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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				APPLICANT Peng-Cho TANG, et al.			
				FILING DATE 07/03/2001		GROUP ART UNIT 1627 USPTO_ART_UNIT01	
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\* **EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.